

The background of the slide features the coat of arms of the Government of Nunavut. It is a shield-shaped emblem with a crown on top. The crown has four points, each with a stylized flower. The shield is divided into four quadrants. The top-left quadrant shows a stylized building. The top-right quadrant shows a caribou head with antlers. The bottom-left quadrant shows a sailing ship on wavy lines representing water. The bottom-right quadrant shows a stylized eagle with spread wings. A banner at the bottom of the shield contains the text "ANE FOR A'".

Agenda Item 5

Corporate Risk Management Update

Falkirk Council

Title: Corporate Risk Management Update
Meeting: Audit Committee
Date: 20 September 2021
Submitted By: Director of Corporate and Housing Services

1. Purpose of Report

- 1.1 This report provides an update on corporate risks and assurance arrangements, including the Corporate Risk Register, Risk Dashboards, and Risk Management Improvement Plan.
- 1.2 The Committee is asked to consider the report, seek further assurance (as necessary), and refer it to the Executive (for approval of the Corporate Risk Register, and consideration of other Appendices).

2. Recommendations

2.1 The Audit Committee is asked to:

(1) Review and (where required) seek further assurance on:

- **Appendix 1: Corporate Risk Register – Summary of Risks;**
- **Appendix 2: Corporate Risk Dashboards;**
- **Appendix 3: Corporate Risk Improvement Plan; and**
- **Appendix 4: Corporate Risk Register – Details of High Corporate Risks.**

(2) Refer this report to the Executive (for review and approval of corporate risks).

3. Background

- 3.1 The Corporate Risk Management updates to the [Audit Committee](#) (in April 2021) and [Executive](#) (in May 2021) included the Corporate Risk Dashboards and a summary of the Corporate Risk Register. These Committee papers also included a provisional 2021/22 Corporate Risk Assurance Plan, including a program of Deep Dives which were agreed by the [Scrutiny Committee](#) in June 2021.

4. Considerations

- 4.1 The Audit Committee are responsible for reviewing the Council's corporate risks and assurance arrangements, and the Executive are responsible for agreeing the Corporate Risk Register. This includes setting Risk Appetite – and this will be covered in training which is planned following the Elections in Spring 2022.

- 4.2 The Corporate Risk Improvement Plan Progress Update (at Appendix 2) confirms there is good progress on CRM Team actions - the revised CRM Policy and Guidance is expected to be finalised in Autumn 2021, Deep Dives are being implemented, Officers' Risk Training is being reviewed during 2021/22, and Elected Members' Risk Training will be provided after the Local Government Elections in May 2022. CMT need to progress some actions – such as improving risk considerations in committee papers and linking risks to plans and performance reports (the latter is in progress).
- 4.3 The Corporate Risk Dashboards (at Appendix 3) provide assurance on services' progress on embedding the CRM Policy, key operational risks, and governance groups' effectiveness. In particular, note the areas of Limited Assurance including linking risks to performance, Equalities, Climate Change and Sustainability, Health and Safety, and Business Continuity and Resilience. Most of these areas have been Limited Assurance since 2018/19 and plans are in place to address them.
- 4.4 The Corporate Risk Register – Details of High Risks (at Appendix 4) includes a brief description of the risks, worst case consequences, mitigation controls, and actions. It also identifies the key sources of assurance for each risk e.g. audits and self-assessments.

5. Consultation

- 5.1 The Corporate Management Team (CMT) and Corporate Risk Management Group (CRMG) have been consulted.

6. Implications

Financial, Resources, Legal

- 6.1 There are no direct financial implications arising from this report.

Risks

- 6.2 The key risk is failure to effectively identify, assess, mitigate, and report on the risks to delivering outcomes. And failure to adequately address key areas of Limited Assurance may impact on the Best Value Review outcomes.

Equalities

- 6.3 An Equality and Poverty Impact Assessment was not required for this report.

Sustainability / Climate Change / Environmental Impact

- 6.4 A sustainability / environmental assessment was not required.

7. Conclusions

- 7.1 This report provides an update on corporate risks and assurance arrangements, taking account of the impact of the COVID-19 pandemic. Members are asked, in particular, to note the areas of limited assurance and the improvement plan.

- 7.2 Audit Committee members are asked to refer this report to the Executive (for review and approval of corporate risks).

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Director of Corporate & Housing Services

Author(s): Hugh Coyle, Corporate Risk Co-Ordinator, 01324 506 286,
hugh.coyle@falkirk.gov.uk
Date: 31 August 2021

APPENDICES

Appendix 1: Corporate Risk Register – Summary of Risks
Appendix 2: Corporate Risk Improvement Plan;
Appendix 3: Corporate Risk Dashboards; and
Appendix 4: Corporate Risk Register – Details of High Corporate Risks.

List of Background Papers:

The following papers were relied on in the preparation of this report in terms of the Local Government (Scotland) Act 1973:

- None

Corporate Risk Register – Summary of Risks

Note - Target Risk (Appetite): The CRM Policy includes Risk Scoring Guidance, including definitions on Target Risk (Appetite). The Risk Training with Members in 2022 will discuss this in more detail.

Table 1: Summary of Resilience Risks: Short Term Risks to Delivering Council Services

Risk Title	Target Risk (Appetite)
Resilience: Business Continuity	Medium
Resilience; Emergency Planning (Partnerships)	Medium
Resilience: COVID-19 - Response, Recovery, and Lessons	Low
COVID-19 Economic Impacts: Downturn in Local Economy	Low

Table 2: Summary of Corporate Risks: Medium Term Risk to Delivering Corporate Plan





High Corporate Risks	
Reducing Corporate Resources – Impact on Staff Wellbeing	Medium
Public Protection (Adults and Children)	High
Failure to properly discharge equalities duties	Medium
Failure to provide a safe environment for employees and visitors	Medium
Failure to recognise, and act upon, the need for transformational change and continuous improvement	Medium
Insufficient funding to deliver services and deliver outcomes	Medium
Failures in workforce planning, including absence, vacancy management, and succession planning	Medium
Climate Change	Medium
Health and Social Care Integration - Transformation	Medium
Falkirk Community Trust – Reintegration Project ADDED- APRIL 2021	Low
Social Work Adult Services – Feeley Review (National Care Service) ADDED- APRIL 2021	Medium
Medium Corporate Risks	
Failures in Leadership, Governance, and Decision Making	Medium
CONTEST, Integrity, and Serious Organised Crime	Medium
Compromised security, or inefficient use, of the Council's data and information asset	Medium
Cyber security incident compromises IT infrastructure, corporate application, social media channel, or data / information	Medium
Failure in Financial Management Control, or Assurance	Medium
Failure to address the impact of poverty on individuals, children, and families	Medium
Failure to implement effective consultation and improve community planning / empowerment	Low
Procurement and Commissioning arrangements fail to secure best value, and demonstrate compliance with Council standards or legal requirements	Medium
Asset Management [Use, Condition, Suitability, Availability, and Reliability]	Medium














Table 3: Summary of Service Risks: Risk to Delivering Medium-Term Service / Business Plans

Risk Title	Target Risk (Appetite)
High Service Risks	
Duty Social Work - Case Load	Low
Seatbelts on School Transport (Scotland) Act 2017 - Implications for Falkirk Council	Medium
Failure to adhere to current and emerging building regulations and standards relating to fire safety within housing	Medium
Medium Service Risks	
Community Care Social Workers: Low number of Social Workers within the HSCP	Low
Additional Support Needs - Capacity	Low
Closing the Attainment Gap - roll out of digital learning	Medium
COVID Impacts in Schools – including Pupil and Teacher Mental Health / Wellbeing	Low
COVID Impacts in Schools – Teachers assessment of senior phase pupil grades (following cancellation of exams)	Low
Tackling Bureaucracy and Reducing Workload in Schools	Low
Community Justice Services	Low
Failure to Deliver Scottish Government Early Years Expansion Infrastructure	Low
Getting It Right For Every Child (GIRFEC) – Includes Inequality	Medium
Scottish Social Services Council (SSSC) - Recent Changes to Registration	Low
Social Work Information System (SWIS) Replacement	Low
Failure to meet the priorities set out within the Local Housing Strategy	Medium
Cemeteries / Head Stones Safety – failure to implement improvement plan	Low
Investments - Failure to deliver major development projects / capital programs	Medium
Prohibitions and Loss of Licences - failure to fulfil duties as a Licence Holder	Medium
Regulatory Enforcement - failure to fulfil duties as a Regulatory Body	Medium

Corporate Risk Management Improvement Plan

Latest Note: All actions have been updated since the plan was agreed by [Audit Committee in](#) April 2021. It reflects the priorities identified in the Improvement Service Survey and Workshop in early 2021).

Progress Level		Risk and Assurance Rating
	No Assurance	Significant delay or shortfall on outcomes.
	Limited Assurance	Minor delay or shortfall on outcomes.
	Substantial	Progress – Actions are completed or expected to meet timescales and outcomes.
		More information required.

Short-Term – Policy and Reports	Progress	Original Date	Revised Date	Status (RAG)
1. CRM Team review CRM Policy, followed by Guidance and Training	Policy and Guidance reviewed – for approval Sep Risk Workshop with Members (inc. Appetite) - Dec Further training – after 2022 elections (see below).	Jun 2021	Sep 2021	
2. Performance Group improve link with risk, plans, and performance	Performance ‘framework’ agreed by Council in May, but actions and reports need developed.	Jun 2021	Sep 2021	
3. CRM Group improve monitoring of Service Assurance Statements	Quarterly Exception Reporting process to be implemented – will feed into future CRM Updates.	Added Aug 2021	Mar 2022	
4. CMT review the Risk Considerations section in Committee papers.	The Chief Governance Officer is to progress this with CMT (as part of Best Value Review actions).	Jun 2021	Mar 2022	
Medium-Term – Scrutiny and Training				
5. CRM Team implement Deep Dives	2021/22 Deep Dive Timetable agreed June 2021. In progress – next Scrutiny Committee in Sept.	Sep 2021	Mar 2022	
6. CRM Team implement Corporate Risk Training and Briefings Plan	Members Risk Training to follow Elections in 2022	Mar 2022	Mar 2022	
	Manager Risk Training – being slotted into Leadership Briefings during year.	Sep 2021	Mar 2022	
	Service Managers and Social Work - being slotted into SW OD Programs	Sep 2021		
	Corporate, Children’s, and Development Services to confirm training needs (other than e-learning) as part of Service Assurance Statements.	Sep 2021		
7. Risk Specialists have ongoing briefings with Members - including briefings by external speakers.	The Deep Dives will form the bulk of briefings. Members should request any additional briefings or training through Democratic Services.	See items 3-4 above		
Long-Term Actions (October 2021 – March 2022+)				
8. Corporate Risk Management Team co-ordinate CRM Self-Assessments (annually) – including Risk Survey.	Annual CRM Reviews completed – interim progress in CRM Dashboards	Mar 2022	Mar 2022	Q1 2022
9. Governance Groups complete Self-Assessments (annually).	As above.	Mar 2022	Mar 2022	Q1 2022
10. CRM Team continue to organise (reciprocal) Internal Audits (3 yearly).	IJB RM Audit actions in progress. CRM Audit will be agreed as part of future Internal Audit Plans.	Mar 2022	Mar 2023	Q1 2023

Corporate Risk Management Dashboards

Guidance on Risk and Assurance Ratings – and Target Risk (Appetite) (Note: The [CRM Policy](#) includes guidance)

- **High Risks / Limited Assurance:** There are significant risks and / or weaknesses in controls – above Risk Appetite
✓ **Medium Risks / Substantial Assurance:** There are moderate risks and / or controls are broadly effective





Table 1: Corporate Risk Management (Strategic) Priorities – Assurance Ratings (RAG)

RISK MANAGEMENT PRIORITIES (Based on RM Self-Assessment)	Corporate (Overall)	Children's Services	Corporate and Housing	Development Services	Social Work Adult Services
SCRUTINY AND HORIZON SCANNING	✓	✓	✓	✓	✓
Quarterly Members' CRM Updates and Service Assurance Statements - including new and emerging risks.	Service Assurance Statements have been completed and will be reviewed Quarterly. The Service Statements at year-end inform the (Corporate) Annual Governance Statement. S/DMTs will agree whether their actions are tracked on Pentana, or in some other way.				
RISK COMMUNICATIONS	✓	✓	✓	✓	✓
Risk Registers and Committee Papers give Members a clear description of risks, controls, and mitigation actions.	Risk Registers have been updated and will be reviewed at least Quarterly. Services need to ensure that risk registers updates are consistent with Committee reports.				
LINKING RISKS TO PERFORMANCE	■	■	■	■	■
Measurable Risk Actions (or PIs) are in place and Corporate Risks are considered in all Committee Reports	More work is needed to link Corporate Risks to plans and performance reports. This is being taken forward as part of the Business Plan and Performance reviews.				
RISK MANAGEMENT TRAINING	■	✓	✓	✓	■
Implement CRM Training Plan	CRM Training Plan to be linked to Leadership and Member Training c. Spring 2022. All Services continue to assess training needs as part of Service Assurance Statements. CRM Team liaising with Corporate and Social Work Organisation Development Advisors.				

Table 2: Service (Operational) Risk Priorities

Risk Category	Corporate (Overall)	Children's Services (CS)	Corporate and Housing Services (CHS)	Development Services (DS)	Social Work Adult Services (SWAS)
Areas of High Risk / Limited Assurance - above Target Risk (Appetite) unless specified					
Equalities	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	DS and SWAS provided assurance that they meet Equalities duties – other Services have not. Corporately, in April 2021, Audit Committee were advised that the Equalities Group will be established to progress the [Corporate] Equalities Mainstreaming Action Plan.			
Health and Safety	<div><div></div></div>	<div><div></div></div>	<div><div></div></div> (reduced)	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	DS provided assurance that they meet Health and Safety duties – other Services have not. In all Services, Health and Safety Audits and Performance Indicators to be introduced. In all Services, Premises Management is high risk – report provided to CMT in August 2021.			
Resilience and Business Continuity	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	SWAS provided assurance that they have effective resilience – other Services haven not. Corporately, the COVID-19 Scrutiny Committee Deep Dive in June 2021 showed that Business Continuity needs to be improved and COVID-19 Debrief Plans are still to be implemented.			
Sustainability / Climate Change	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	No Services have given assurance that they have implemented effective Climate Change plans. Corporately, there is a high risk of failure to meet the Council's Climate Change Declaration . An update was provided to Executive in June 2021 and a Deep Dive is planned for Q4 2021/22.			
Areas of Medium Risk / Substantial Assurance – within Taraget Risk (Appetite) unless specified					
Asset Management	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	Risk remains as Medium overall. However, there are a number of significant and high risks. Deep Dive is ongoing – report due to be submitted to Scrutiny Committee around Oct 2021.			
Financial Controls	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	All Service Directors provide an annual declaration to confirm that financial controls are being complied with in Services. This assurance rating is also consistent with most audits.			
Fraud & Serious Organised Crime	<div><div></div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	Medium/ High Risk. Most Services provide assurance that fraud controls are effective. CHS has given limited assurance – as the 2019/20 External Audit Annual Report identified significant risks, but this rating will be re-assessed once actions are completed. An update on Audit Scotland Fraud and Irregularity risks was also provided to Audit Committee in August 2021, with assurance work to be completed. This will also feed into the future re-assessment.			
HR Management and Workforce Planning	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	High Risk because of COVID-19, but all Services have given assurance that controls are in place to mitigate rissk as far as possible. Services also to progress Service Worforce Plans.			
Information Assets (ICT and Governance)	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	Medium Risk and the Information Working Group provided substantial assurance in Jan 2021. The Group is well established and Plans in place – but needs repretation from some Services.			
Procurement	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>	<div><div></div></div>
	Key Issues / Actions	Medium Risk and the Annual Procurement Reports and Procurement Board provides substantial assurance. However, this will be reviewed following the Fraud Risk Review above.			


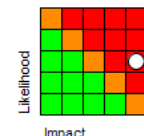
Table 3: Governance Group Self-Assessments

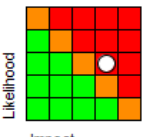
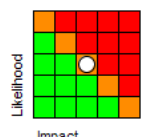
Assurance Level		Risk and Assurance Rating
	No Assurance	There are significant risks and / or controls need developed / embedded
	Limited Assurance	There are risks, though controls are broadly effective / embedded
	Substantial Assurance	There are limited risks in a particular Service and / or controls are working.
	More Information Needed	The rating will be confirmed once ongoing reviews are completed and plans confirmed.
	Split ratings	RAG shows the most recent assurance rating, but blue indicates plans still being confirmed

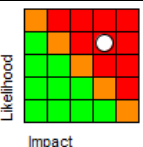
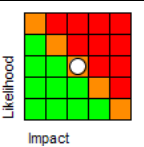
Latest Note: All items include a Brief Summary and reference to a more detailed report. In most cases this is Committee papers (published), but sometimes updates are reported via unpublished Council / Partnership Boards (based on Council's Standing Orders).

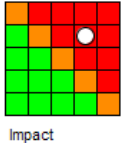
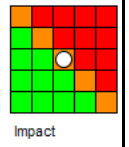
Lead Service	Code	Name	Progress and Assurance (Brief Summary and ref to more detailed report)	Assurance Level	Last Update
DS	CAMG	Corporate Asset Management Group	Deep Dive is under way - involves work to define governance, risk registers, and escalation process. Scrutiny Committee report is planned in Sept 2021.		Aug 2021
CHS	COTFB	Council of the Future Board	Program Risk Register has been reviewed, but Project risk logs need more detailed review.		Aug 2021
CHS	CPB/	Community Planning Board	Community Partnership arrangements effective – regular updates are provided to the Executive.		Feb 2021
CHS	CPF	Corporate Partnership Forum	Employee Partnership arrangements effective – updates are provided to the Executive as needed.		Feb 2021
CHS	CPRWG	Capital Planning and Review Working Group	2019/20 External Audit Annual Report identifies need to reduce Capital Plan Slippage. Improvement built into Capital Planning process.		Feb 2021
CHS	CRMG	Corporate Risk Management Group	Good progress on most areas, but some actions still to be defined. Plan is included in this report.		Mar 2021
DS	CSG	Corporate Sustainability Group	Climate Emergency Plan to be developed – see Executive report in June.		Feb 2021
DS	EoS RRP	East of Scotland Regional Resilience Partnership	Debrief Action Plans to be progressed – see Scrutiny Committee Deep Dive in June.		Feb 2021
CHS	ETG	Equalities Tasking Group	Mainstreaming Actions to be developed - see Executive report in March.		Feb 2021
CHS	FFP	Fairer Falkirk Partnership	Community Partnership arrangements effective - regular updates are provided to Executive		Feb 2021
CHS	IMWG	Information Management Working Group	The Group are progressing actions - Lead Officer (SIRO) Annual Report to be implemented.		Feb 2021
CHS	PB	Procurement Board	Good assurance based on national benchmarks - Annual Public Duties Report published online.		Dec 2020
CHS	PG	Participation Group	Progress is being made on improvement plans - regular updates are provided to Executive		June 2021
CHS	PMG	Performance Management Group	Business Plan in place, but need to develop the Performance Framework (e.g. link plans to risks). BV Plan to be developed following BV Outcomes.		June 2021
CS	PPCOG	Public Protection Chief Officers' Group	Risk Register has been developed. Further work being done on risk reporting / escalation process.		June 2021
CHS	SHG	Strategic Housing Group	Good assurance based on national benchmarks - Annual Housing Regulator Report published.		Dec 2020
CHS	SMG	Safety Management Group (including Staff Wellbeing)	Premises Management process is under review. Service H&S System is still being embedded. Staff Wellbeing reported via Partnership Forum.		May 2021
CS	SWIS PB	Social Work Information System Program Board	Project is behind schedule but mitigated by current system in place. COTF Board receive updates.		May 2021

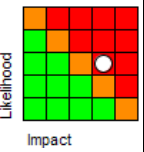
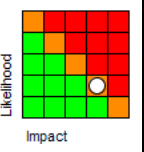
Appendix 4: Corporate Risk Register – Details of High Corporate Risks

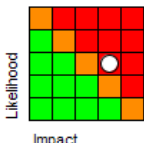
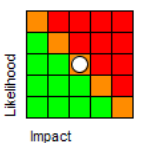
Children's Services			
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Residual (With Controls)	Target - Appetite (After Actions)
COR_CS_08	Public Protection: Harm to Adults and Children		
Lead Officer (s)	Sara Lacey	High	High
Risk Description	<p>There is a risk of harm to vulnerable children and young people and adults if the Council fails to meet its statutory public protection duties. This includes Adult Support and Protection; Child Protection and both sex offenders and violent offenders (Criminal Justice Service users). In relation to Criminal Justice the risk is twofold (the protection of the community from the service user and the protection of the service user from the community). The delivery of Adult Support and Protection (ASP) service is also overseen by and accountable to the IJB (integration Joint Board).</p> <p>The risk in terms of children is twofold:-</p> <ul style="list-style-type: none"> . The need to keep children safe and avoid child deaths . The reputational risk to the Council in this situation. <p>The Target Risk Is High because there is always a risk of a serious harm occurring. Whilst the Council can provide reasonable assurance on the effectiveness of its public protection arrangements at a Council and Partnership level (as outlined in the risk register below), the inherent nature of the risk is that harm could still happen and the consequences could always be severe. The Target Risk is high because we don't think it's possible to reduce the consequences to Medium, even though the Council has reasonable controls in place to mitigate and respond to an event. <u>Refer to COG Risk Register for further information on risks, controls, and assurance mechanisms.</u></p>		
Consequences (Worst Case)	<ul style="list-style-type: none"> . Death or serious harm to a child/young person or vulnerable adults. . Significant Case Reviews / Fatal Accident Enquiries / Court / Prosecution or other external legal interventions. . Potential compensation claims. . External criticism / intervention (e.g. Care Inspectorate or Criminal Justice Authority). . Reputational damage to the Council. 		
Mitigation Controls	<ul style="list-style-type: none"> . Current robust processes with partners regarding sharing of information (including protocols). Key processes MAPPA / IRD's / CP and ASP Case Conferences / CP / ASP Register, integrated / Single shared assessment. . Governance Structure - including risk, audit, and performance monitoring (e.g. Child Protection Committee). . Robust training programme for all Council and partner agency staff regarding CP / ASP / MAPPA. . Awareness raising with the public. . Police run scheme for identification of sex offenders in local communities. 		
Assurance	<ul style="list-style-type: none"> . Public Protection Group and Sub-Groups . Care Inspectorate . Children's Commission . Criminal Justice Authority 		
Additional Mitigation	<ul style="list-style-type: none"> . Integrated Children's Services Plan . Adult Protection Committee Improvement Plan . Information Sharing Working Groups established to progress issues relating to sharing from Social Work, Police and Health. Review progress quarterly. 		
Latest Note / Review Date	<p>The Public Protection Chief Officers' in Forth-Valley temporarily formed a Chief Officers' Group (COG) in 2020 to co-ordinate responses to COVID. This has reverted to a Falkirk COG, and its first meeting in June 2021 will include a COG Risk Register.</p> <p>Chief Social Work Officer - also provides assurance to the IJB's Clinical Care Governance Committee, and inputs into the IJB Strategic Risk Register (considered by the IJB Audit Committee quarterly). The most recent Chief Social Work Officer's Annual Report 2018/19 was considered by the IJB Care & Clinical Governance Committee in December 2019. The Committee also receive regular Overviews of Local Scrutiny Arrangements (including Public Protection) and Inspections and National Reports - including Care Inspectorate, Scottish Government, and Mental Health and Equality & Human Rights Commissions' reports.</p> <p>Internal Audit – work on the IJB Risk Management arrangement is ongoing and will consider how partners link risk assurance reports.</p>		

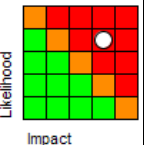
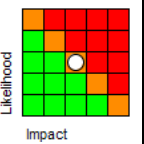
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Residual (With Controls)	Target - Appetite (After Actions)
COR_CHS_02	COTF / Transformational Change: Failure to recognise, and act upon, the need for transformational change and continuous improvement.	 Impact	 Impact
Lead Officer (s)	Karen Algie	High	Medium
Risk Description	The Council fails to plan for, and implement, appropriate transformational change, leading to missed opportunity and failure to deliver the right services, to the right people, in the right way, and within budget.		
Consequences (Worst Case)	Failure to deliver the planned programme of Council of the Future work and to achieve the required savings in the required timescales, leading to: <ul style="list-style-type: none"> absence of required skills or expertise to deliver services; service failure (including delivery of statutory services); and external intervention in the running of the Council. 		
Mitigation Controls	<ul style="list-style-type: none"> COTF Board in place (comprising elected Members and Chief Officers). Programme of COTF work agreed and being progressed. Change Manager and Project Management Office team appointed to ensure good practice /drive pace of change. Framework for COTF reporting, timelines, outcomes, and benefits developed and subject to constant review; The governance arrangements were reviewed and refreshed in Nov - Dec 2019. 		
Assurance	<ul style="list-style-type: none"> Reports on projects and reviews submitted to, and scrutinised by, COTF, CMT, and the Executive. Audit Committee monitors the effectiveness of COTF Risk Strategy / program governance. Change implemented, savings achieved, and performance improved, in line with agreed outcomes. The Programme Management Office (PMO) have 1:1 reviews with Program Managers and attend Workstream Boards to ensure that robust project assessments / documentation are in place. Monthly project reports form the basis of Performance Panel reports for Service's COTF service plan updates. 		
Additional Mitigation	<ul style="list-style-type: none"> The Board will review the Program Risk Register at 6 monthly intervals (or by exception); Project lead officers will monitor project risks, as part of project management arrangements; Oversight and scrutiny by CMT, Audit Committee, Executive, Council, and external audit; Internal audit of processes and controls; and Reviewing the change programme through Council of the Future proposals. 		
Latest Note / Review Date	The Powering our Priorities initiative has taken time to embed, to ensure the recalibration of the change programme was sustainable and deliverable. A number of governance gateways have been established to re-enforce the rigour and quality aspects of our project management approach. Each project now has a dynamic and robust project workbook that satisfies the governance requirements to proceed beyond Gateways 1 and 2 (business case and fully developed PID). All projects will enter Gateway 3 - Implementation in July 2021. This will be monitored by more robust and frequent reporting through the boards and progress reporting (Milestones, KPIs, Benefits and Risks). This will be enhanced with in-year reporting of priority projects to Elected Members.		14 Jun 2021

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Residual (With Controls)	Target Risk Appetite (After Actions)
COR_CHS_05	Equalities: Failure to properly discharge equalities duties.		
Lead Officer (s)	Colin Moodie	High	Medium
Risk Description	The risk is that the Council is not meeting its statutory duties and this will have a negative impact on protected groups.		
Consequences (Worst Case)	. Disadvantage, poverty, inequality, or harm. . Challenge under Equalities Act and consequences of this - reputational, safety, legal, and financial implications.		
Mitigation Controls	. Duty to publish equalities information; Assessing and reviewing Policy. . Considering award criteria and conditions in relation to public procurement. . Materials published in an accessible manner.		
Assurance	. Community Planning Partnership focus on equalities and fairness . Reports to CMT and Executive.		
Additional Mitigation	. Equalities Action Plan to be developed – following Internal Audit.		
Latest Note / Review Date	increased likelihood to 4 given Internal Audit was limited assurance.		20 Jul 2021

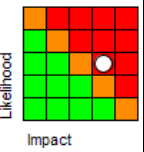
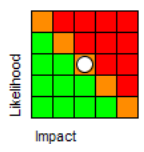
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Residual (With Controls)	Target - Appetite (After Actions)
COR_CHS_04	Financial Sustainability: Insufficient funding to deliver Services		
Lead Officer (s)	Bryan Smail	High	Medium
Risk Description	<p>Budgetary, economic, or demographic pressures, and failure to properly manage and allocate resources to deal with these, mean that the Council is unable to deliver services and meet its statutory and other obligations.</p> <p>The key funding uncertainties and challenges over the medium term are:</p> <ul style="list-style-type: none"> . Funding – including Local Government Financial Settlement, Brexit, and Business Rates; . Reserves : the ongoing use of reserves to fund Services is not sustainable; . Demographics: in particular, challenges on Pupil Teacher Ratios, Adult Services, and Welfare; and . Council of the Future Program (delivery of projects and realisation of savings). <p>The following corporate risks need effective management in order to manage funding risks include: (abbreviated): Leadership, Change, Brexit, Social Care, Equalities, Poverty, and Financial Controls.</p>		
Consequences (Worst Case)	<ul style="list-style-type: none"> . The Council is unable (or unwilling) to take difficult decisions to live within its revenue budget; . service failure, resulting in inability to deliver statutory services; . threat to lives and significant negative impact on the wellbeing of citizens if services not delivered; . Statutory breaches, leading to Public Enquiry and / or legal action; and . external intervention in the running of the Council. 		
Mitigation Controls	<ul style="list-style-type: none"> . Medium term financial planning (MTFP), scenario modelling, and horizon scanning; . Robust and inclusive budget preparation process (e.g. Member Budget Working Group and EPIAs); . ongoing budget monitoring by managers, and expert advice from Service Accountants; . gathering and considering network intelligence via, eg COSLA, CIPFA Directors of Finance Group; . aligning budgeting to strategic planning, COTF program, and strategies e.g. workforce and technology; . Members have agreed a 4.84% Council Tax increase in 2020/21, which informs planning; . improved budgeting, e.g. zero based, participatory, and review of funding of external organisations; and . implementing and enforcing Financial Regulations and other good practice guidance and processes. 		
Assurance	<ul style="list-style-type: none"> . Statutory Section 95 Officer review role; . Oversight and scrutiny by CMT, Audit Committee, Executive, and Council; . External Audit of the Council's Financial Statements, and Best Value reviews; . Internal Audit of processes and controls; . Member Budget Working Group; and . Oversight by partnership Boards, including Falkirk Community Trust and the Integration Joint Board. 		
Additional Mitigation	<ul style="list-style-type: none"> . Budgeting is an ongoing process as part of Business Planning. 		
Latest Note / Review Date	<p>COVID-19 Update: As per previous Note in July 2020, risk increased to High.</p> <p>This reflects the impact that the COVID-19 situation has had on an already challenging budgetary position. Difficulty in realising 2020/21 approved budget savings together an expected significant shortfall between government grant and additional expenditure / lost income will have a material adverse material impact on the Council's financial position in 2020/21. The financial exposure of the Trust is an added factor - this financial pressure is expected to last well beyond current financial year.</p>		18 Feb 2021

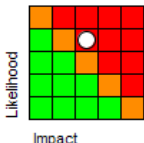
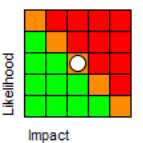
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_CHS_10	Health, Safety, and Wellbeing: Failure to provide a safe environment for employees and visitors.		
Lead Officer (s)	Karen Algie	High	Medium
Risk Description	The Council fails to protect the Health, Safety, and Wellbeing of staff and the public (including Premises Management arrangements are not effective)		
Consequences (Worst Case)	<ul style="list-style-type: none"> Death and / or serious injury to employee, visitor, or Service User (including physical and mental wellbeing) Staff absence has severe impacts on colleagues including morale, workload, and mental wellbeing. Statutory breaches, which may lead to prosecution and civil claims. Indirect cost of incidents – including investigation costs and reputation damage. Financial loss – such as avoidable absence, claims, insurance, and repair costs. Service delays and harm to vulnerable people. Lack of best value – avoidable losses reduces funds for statutory Services. 		
Mitigation Controls	<p>Safety and Wellbeing Strategies and supporting policies and guidance - including the Premises Managers' Handbook.</p> <ul style="list-style-type: none"> Risk assessments, training, and guidance. Safety audits, inspections, and assurance statements. asset repair and maintenance programs. Absence and incident reporting, investigations, and monitoring of trends and lessons learnt. Contractors' Health and Safety arrangements, insurance, and indemnities. Stakeholder engagement – including Corporate Partnership Forum (including TUs), Safety Management Group, and HSE. <p>Employee Support - including Bulletins, Consultations, Counselling / Employee Assistance Program, Mental Health First Aiders, and Occupational Health,</p>		
Assurance	<ul style="list-style-type: none"> PMH compliance monitoring is undertaken by Premises Managers, Services and Facilities Unit. The Safety Management Group oversee operational risks, and CRMG have strategic oversight. Health, Safety & Wellbeing team undertake audits of Service's specific safety risks and managements systems. - Covid Risk Assessment group develop and review risk assessments to support services ensure safe working practices - PPE working group to monitor PPE supply and distribution issues etc. <p>Staff consultation including wellbeing surveys and Corporate Partnership Forum (including Trades' Unions).</p>		
Additional Mitigation	Actions flowing from reviews should be captured in SHE System Reports and Service Assurance Statements. These feed into overview reports to SMG and CRMG Reports.		
Latest Note / Review Date	<p>Work relating to Covid 19 is ongoing and taking priority. Risk assessment meetings with Trade Unions and general TU meetings continue weekly and updated guidance developed and issued to Services. SHE system being rolled out. Safety Management group was delayed due to separate groups set up to help support and manage covid but will now be set up again.</p> <p>Some premises still to identify Premises managers.</p>		03 Feb 2021

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_CHS_06	HR: Failures in workforce planning, including absence, vacancy management, and succession planning.		
Lead Officer (s)	Karen Algie	High	Medium
Risk Description	<p>Failures in workforce planning adversely and significantly impact on the quality and consistency of service delivery, and compromise on-going availability of services.</p> <p>There is also a risk that the Council fails to agree and implement a modern and flexible package of terms and conditions, and to undertake effective consultation with employees and trades' unions.</p> <p>This risk is closely linked to the following additional, but separate, corporate risks: equalities, health and safety, early years expansion, and SSSC Code of Conduct.</p>		
Consequences (Worst Case)	<ul style="list-style-type: none"> Failure to deliver services, including statutory services; more staff employed than required and / or staff with the wrong skill set; no clear plan to achieve savings that impact on staff; and Industrial relations / staff satisfaction issues (impact on recruitment, retention, performance, employee relations). 		
Mitigation Controls	<ul style="list-style-type: none"> Workforce Strategy agreed by Members, and monitoring of implementation by Human Resources; Workforce Planning Framework in place and being implemented across Services; and Workforce Plans being developed across all Services and Council wide plan agreed. Workforce Plans are an integral part of Strategic Planning, including Service Planning / Budgets; HR support Services in developing and reviewing their workforce plans; Trades' Union pro-actively involved in change, including consultation on terms & conditions and workforce issues; Partnership Agreement now in place; Managers receive the information and support needed to manage performance, e.g. absence; Employee engagement is undertaken and acted upon, e.g. staff satisfaction survey / Action Plans; HR and Organisation Development Policies are effective and consistently implemented; and A range of training and development opportunities are available to improve skills / performance. 		
Assurance	<ul style="list-style-type: none"> Update reports on workforce changes presented to, and considered by, CMT; Absence and turnover reports submitted to Corporate Partnership Forum; and Consistency of approach to workforce planning across all Services. HR Policy and Procedure Audits, and Exit Interviews; Employee Satisfaction results are evaluated, and Action Plans are implemented and monitored; Workforce Planning reviews, including critical friend, audit, and peer review; Best practice reviews including ILM, and Healthy Working Lives audits; Oversight of HR risks by staff / CPF and SPF's (but this consultation framework is under review); and Equalities / Equal Pay issues are monitored as part of the Equalities Mainstreaming process. 		
Additional Mitigation	<ul style="list-style-type: none"> Ensuring workforce plans form part of day to day workforce considerations, budget, and change programme. Progress the key COTF projects and Service Plan actions outlined below. Improve areas identified in Policy and Procedures reviews, e.g. exit interviews. Pilot absence nurse pilot scheme being implemented to support absence management. 		
Latest Note / Review Date	Reduced likelihood to possible because Workforce Plans are in place,		20 Jul 2021

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_DS_02	Climate Change: Failure to deliver on Climate Emergency Declaration and meet Public Duties	 Likelihood Impact	 Likelihood Impact
Lead Officer (s)	Robin Millard	High	Medium
Risk Description	<p>There is a risk that the Council fails to deliver on it's Statutory Duties or Climate Emergency Declaration in 2019.</p> <p><u>CONTEXT:</u></p> <p>The Council has a statutory duty to reduce emissions from its activities, and to provide leadership in reducing emissions in our area amongst both communities and businesses. The Scottish Government have declared a Climate Emergency and committed to "Net Zero" greenhouse gases by 2045. They require the Council meet ambitious Carbon Reduction Targets in order to meet national targets. The regulatory environment is being strengthened by the Scottish Government, and this will include penalties and enforcement.</p>		
Consequences (Worst Case)	<p>The latest UK Climate Projections (2018) predict hotter and drier summers, milder and wetter winters, more likely and more severe coastal flooding & flash flooding, as well as sea level rise up to 0.9 m in Edinburgh (impacting throughout the Forth).</p> <p>Falkirk Council area includes vulnerable sites where flooding and severe weather events could harm citizen's health and their property. Breach of climate duties could also result in reputational damage, legal action, penalties, project delays / funding gaps.</p>		
Mitigation Controls	<p>Services have implemented a wide range of strategies and projects to mitigate climate change – these are set out within the Climate Change and Adaptation Risk Register.</p> <p>The Council have implemented a clear governance structure for monitoring and reporting progress, led by the Corporate Sustainability Working Group (and aligned with the SOLD, Strategic Plan, and COTF Program).</p> <p>Sustainability should be an integral part of the SOLD and Service Business Plans and decision making.</p>		
Assurance	<p>CCAT (Annual Self-Assessment) shows the key actions and this is reported to Members and the Scottish Government.</p> <p>Climate Change Public Bodies Duties Report – reviewed by Internal Audit and published on SSN website annually.</p> <p>Climate Change Action Stakeholder Working Group - monthly reviews alternate between Council and Community CC actions.</p> <p>Corporate Sustainability Group (Officers / Experts) and Climate Change Action Stakeholder Working (Members / Others)</p> <p>Governance Groups have oversight of sustainability implications in their area – including asset, resilience, , CPP, COTF Board</p>		
Additional Mitigation	<p>CCAT (Annual Self-Assessment) shows the key actions and this is reported to Members and the Scottish Government.</p> <p>Climate Change and Adaptation Risk Register is to be developed will be linked to key projects and plans.</p> <p>Climate Emergency Action Plan is to be developed.</p>		
Latest Note / Review Date	<p>Executive Report in June 2020 sets out key risks and actions.</p> <p>CCAT (Annual Self-Assessment) completed Aug 2021 and to be reported to CMT, Members, Scot. Government.</p> <p>Deep Dive (Risk Review) is planned in late 2021 and the outcomes will be reported to Scrutiny Committee.</p>		04 Aug 2020

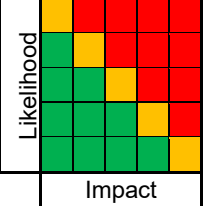
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_DS_01	COVID-19 Economic Impacts: Downturn in Local Economy	 Likelihood Impact	 Likelihood Impact
Lead Officer (s)	Douglas Duff	High	Low
Risk Description	<p>There is a significant risk of economic downturn in the Falkirk economy due to COVID-19.</p> <p>This could have a significant impact on individuals, communities and business – especially in most deprived areas. This may lead to increased calls for support/intervention by Council and other agencies - to address hardship, sustain business operations, relax financial claims or regulatory controls – all these have significant impacts on Council resources.</p> <p>There are a range of other corporate risks which are detailed under more specific corporate risks – including:</p> <ul style="list-style-type: none"> . Resilience – capacity to respond and recovery from concurrent events e.g. COVID-19, Brexit, and Winter. . Financial Sustainability - medium to long-term budget impact. . Poverty and Welfare – impact on vulnerable people - including food/ fuel poverty. . Partnerships and Participation – including Public Communications. . Health & Social Care – including capacity and Care Home resilience. 		
Consequences (Worst Case)	<ul style="list-style-type: none"> . Business closures and cut backs - Loss of skills / jobs / investment . Harm to vulnerable people, the community, and the local economy. . Poverty and Inequality - most deprived areas / groups impacted most . Interruption to essential supplies – including medical, food, and fuel supplies. . Resources are further stretched / diverted from Corporate priorities. . Failure to deliver safe and Best Value services – reputational damage and possible intervention 		
Mitigation Controls	<ul style="list-style-type: none"> . Towards a Robust, Resilient Wellbeing Economy for Scotland: Report of the Advisory Group on Economic Recovery . Falkirk Economic Recovery Action Plan prepared and being consulted – Respond, Reset, Restart, Recover – cross partnership approach . Immediate partnership alignment on economic support initiated – SE, Regional Authorities Falkirk Economic Partnership, UK and Scottish Govts . SRP EU Exit Recovery Sub-Group is leading on this area at a national level. . Lead Officer has been having discussions at a national level (e.g. with Business Gateway) about COVID19 economic recovery strategy. This will inform any local planning. . All current support activity is focused on COVID19 with need to ensure updated Brexit information support is initiated in line with UK Gov exit negotiations. Little information forthcoming at present. 		
Assurance	Resilience and Economic Partnerships - feeding into planning at Council, Regional, and National levels.		
Additional Mitigation	Lead Officers will continuously review risks, continuity plans, and Recovery / Business plans as necessary.		
Latest Note / Review Date	There are regular updates to Elected Members.		01 Dec 2020

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_DS_05a	Resilience - Council Business Continuity: Planning and response is ineffective		
Lead Officer (s)	Chief Executive and Director of Development Services	High	Medium
Risk Description	<p>Effective Business Continuity Management (BCM) protects services, reputation, finances and people, and contributes to compliance with the Civil Contingencies Act (CCA), 2004.</p> <p>If business continuity arrangements are not effective, it could result in loss of people (due to e.g. pandemic flu); Council assets (due to e.g. severe weather or fire); and key suppliers or data (due to e.g. supplier closure and barriers to sharing information).</p>		
Consequences (Worst Case)	<ul style="list-style-type: none"> . harm (death / injury) to people; . damage to the economy (which could e.g. increase poverty / demand for Council Services); . failure to deliver service plans; . increased costs of operating (e.g. overtime, contractors & temporary premises); and . using inexperienced staff to maintain delivery of core services could be less efficient, reduce quality of service, and increase complaints and non-compliance with CCA legislation. 		
Mitigation Controls	<p>Business Continuity Management (BCM) Strategy is in place, supported by BC Plan (BCP) Templates and Guidance.</p> <p>BCPs are developed at a corporate, service and supplier level. This follows a review of critical services and a BIA (Business Impact Analysis).</p> <p>Specific controls to reduce the likelihood of interruptions include:</p> <ul style="list-style-type: none"> . premises & asset maintenance & inspections; flu vaccinations for critical staff; complaints monitoring; . procedures and rotas in place to ensure 24 emergency control service including MECS service; . backup locations for ICT; and . generators at Municipal Buildings to deal with power failure. <p>A senior manager on call rota has been established for all Directors and Heads of Service to support Resilience Officers at the time of a major incident.</p> <p>Service business continuity plans / continuity arrangements to be reviewed and tested, and Services to provide Annual debrief reports to CRMG following each exercise debrief.</p>		
Assurance	<p>Service business continuity plans / continuity arrangements to be reviewed and tested, and Services to provide Annual debrief reports to CRMG following each exercise debrief.</p> <p>Falkirk Council continue to plan corporately in preparation for Severe Weather events and attend the multi-agency group to discuss and implement a plan for the M80. FC submitted comments to draft plan led by Police Scotland.</p>		
Additional Mitigation	BCPs should be reviewed by SMTs, and Emergency Planning Team will co-ordinate exercises (at least annually).		
Latest Note / Review Date	Executive Deep Dive in June 2021 set out the key actions and this will be followed up later in 2021. A plan is being developed to 'Build Back Better' following COVID – will be included in next update to Members.		04 Aug 2020

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_DS_05b	Resilience - Multi-Agency Partnerships: Planning and response is ineffective	 Likelihood Impact	 Likelihood Impact
Lead Officer (s)	Chief Executive and Director of Development Services	High	Medium
Risk Description	<p>Ensure compliance with the CCA, 2004 and our obligations to the COMAH Regulations, 2015, to protect the people, economy and environment of Falkirk Council area by building resilience and having effective arrangements in place to plan, prepare, respond and recover from incidents.</p> <p>The EoS RRP's Risk and Preparedness Assessment provides a more detailed assessment of resilience risks.</p>		
Consequences (Worst Case)	<ul style="list-style-type: none"> . harm (death / injury) to people; . damage to the economy (which could e.g. increase poverty / demand for Council Services); . failure to deliver service plans; . increased costs of operating (e.g. overtime, contractors & temporary premises); and . using inexperienced staff to maintain delivery of core services could be less efficient, reduce quality of service, and increase complaints and non-compliance with CCA legislation. 		
Mitigation Controls	The EoS RRP maintain a Resilience Preparedness Assessment (RPA), and have response plans for a range of potential scenarios. This links into risk assessment and planning at local, regional, and national levels.		
Assurance	The EoS RRP undertake an ongoing program of training and exercising at local, regional, and national levels.		
Additional Mitigation	The RRP's plans will be monitored on Pentana.		
Latest Note / Review Date	Executive Deep Dive in June 2021 set out the key actions and this will be followed up later in 2021. A plan is being developed to 'Build Back Better' following COVID – will be included in next update to Members.		04 Aug 2020

Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_SWAS.03	Health and Social Care Integration: failure to deliver the HSCP Strategic Plan		
Lead Officer (s)	Martin Thom	High	Medium
Risk Description	<p>The risk is that the partnership fail to transform Services and meet the priorities set out within the HSCP Strategic Plan and Medium-Term Financial Plan.</p> <p>The IJB maintains a Strategic Risk Register which assesses the risks to delivering their Delivery Plan. The risks include:</p> <p>Delivery of Strategic Plan</p> <ol style="list-style-type: none"> 1 Funding and /or demographic pressures 2 Governance arrangements 3 Partnerships 4 Capacity and infrastructure 5 Directions <p>Performance, Oversight & Quality Control</p> <ol style="list-style-type: none"> 6 Assurance 7 Commissioning <p>Specific High Level Risks</p> <ol style="list-style-type: none"> 8 Whole Systems Transformation 9 Transition of Operational Management of NHS Services to Partnerships 10 Brexit and Resilience 11 Primary Care Sustainability <p>A number of these risks are rated high, which reflects the level of change and uncertainty.</p>		
Consequences (Worst Case)	Financial and Project: Budget overspends due to inability to effectively manage pressures. Service failures. Harm: serious harm (death / injury) and disadvantage / inequalities. HR: significant issues, including stress absence / claims. Reputation: national media interest and / or loss of confidence. Service: opportunities to improve services, efficiencies, outcomes.		
Mitigation Controls	<ul style="list-style-type: none"> . The IJB's Strategic Risk Register outlines actions for each of the strategic risks above. . IJB Risk Strategy and governance framework. 		
Assurance	<ul style="list-style-type: none"> . IJB Strategic Risk Register is reviewed by Leadership Team and IJB Audit Committee quarterly. . HSCP Leadership Team and Integration Joint Board receive regular risk and performance updates. . Ongoing program of inspections, self-assessments, and audits. . Regular updates are provided to the IJB Audit Committee, and the risk register links to other committees and partnerships - including the Care and Clinical Governance Committee and Public Protection Chief Officers' Group (COG). 		
Additional Mitigation	See IJB / Audit Committee Reports.		
Latest Note / Review Date	IJB Risk Register was reviewed in June 2021 and the Leadership Team are taking forward actions. Internal Audit review of IJB RM arrangements and provided Limited Assurance – plan to be taken to Audit Committee c. Sept.		04 Aug 2021
Risk Ref.	Risk Title	Risk Scoring & Appetite	
		Current (With Current Controls)	Target - Appetite (After Actions)
COR_SWAS.05	Feeley Review: Implications of National Social Care Service Review	High	Medium
Risk Description	The Feeley Review creates uncertainties that may affect most IJB and Social Work Risks. The risks will be assessed in more detail once the potential changes become clearer.		

GUIDANCE ON RISK SCORING AND TARGET RISK (APPETITE)

Risk Matrix	Risk Scoring	Risk Response and Appetite
	16-25 = High Risk 10-15 = Medium Risk 1-9 = Low Risk	Response - Additional mitigation is needed (or tolerate if it's inherently high and cannot be reduced further). Appetite - generally above appetite unless the organisation wants to accept the risk (to seek specific opportunities).
		Response - additional mitigation is optional (is it proportionate?) Appetite - Accept if current mitigation is effective and proportionate - except Statutory compliance is none / low appetite.
		Appetite – Accept - except Statutory compliance is none / low appetite. Response - additional mitigation is optional. (is it proportionate?) In some cases, a low risk may be an indicator that the organisation is able to accept more risk.

Likelihood		Impact / Consequence Descriptions					
Score	Likelihood	Impact	Financial	Legal and Compliance	Reputational	People / Communities and Assets / Place	Services and Projects
5	Almost Certain or if already happening then it's <u>an Issue v risk</u>	Severe	Extensive; spend exceeds available budgets	Serious Breach of Regulations including potential prosecutions	Sustained media interest, complaints	Multiple deaths / assets destroyed / severe social impact	Extended disruption or loss of service, or project delay
4	Likely: Has happened in recent past and will probably happen again	Significant	Major impact, but within budgets	Breach of Regulations may lead to litigation or prohibitions	National media interest and / or extended period and / or loss of confidence	Major injury, death, social impact	Major service disruption, or project delay
3	Possible: Will probably happen at some point in the future	Moderate	Manageable budget impact; spend exceeds risk owner's authority	Breach of Regulations may lead to claims or inquiry	Regional Media Interest - medium term - and some loss of public confidence	Moderate injuries / damage / social impact	Some disruption to service, or project delay
2	Rare: Has happened before but unlikely	Limited	Minimal budget impact;	Legal action is unlikely or only minor claims	Local media interest - short-term - little loss of public confidence	Minor injury and / or damage / social impact	Minor disruption to multiple services, or project delay
1	Almost Impossible: Never happened and doubt it will	None	None or little budget impact; spend is within risk owner's authority	None, or little risk of legal action	None, or little, media interest; no loss of confidence	None / very minor injury / damage / social impact	None or little disruption to one service, or project delay
		APPETITE EXECUTIVE RATE LOW TO HIGH					